

FHWA NATIONAL STRATEGIC PLAN 1994



U.S. Department
of Transportation
**Federal Highway
Administration**

JULY 1993



HIGHWAY EXCELLENCE— 100 YEARS AND BEYOND

**In 1993, the
Federal Highway Administration,
U.S. Department of Transportation,
commemorates its 100th Year
Anniversary...looking back at
a century of progress and
partnerships...moving
ahead to a new century
of opportunities.**

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ADMINISTRATOR'S MESSAGE

Beginning with FHWA 2000 in 1991, and now the issuance of the 1994 National Strategic Plan, the Federal Highway Administration continues to demonstrate leadership in strategic planning. This effort has evolved as a participatory process that reached consensus on our Vision for the future, clarified our Mission, and identified our organizational Values and Goals. This document serves as the focus for expanding FHWA's service to our customers and stakeholders.

President Clinton's National Performance Review is aimed at "Reinventing Government" to improve service to citizens and customers. The Federal Highway Administration is already out in front in this effort. I was an observer at the recent workshop devoted to the development of the 1994 Plan. Involved were the 20 Unit Managers that comprise the senior management of the Agency. I was extremely pleased with the display of teamwork and leadership; it reinforces my belief that FHWA is among the top agencies in the Federal Government.

We face many challenges ahead as we carry out FHWA's Mission and implement the Intermodal Surface Transportation Efficiency Act. To this end, the National Strategic Plan not only helps us manage our Agency more effectively, but helps us advance the cause of an intermodal transportation system that serves the Nation and supports economic growth.

I fully support the 1994 National Strategic Plan and believe that it will put us in a much stronger position as we confront these challenges. I urge you to read the Plan carefully and work diligently to implement it.

Rodney E. Slater



INTRODUCTION

The 1994 FHWA National Strategic Plan (NSP) represents Agency-wide guidance that will help us steer toward our Vision. The NSP is intended to chart FHWA's direction and focus its diverse energies to more efficiently accomplish its Goals, moving it closer to realizing its Vision. The 1994 NSP is, in a sense, a revised, improved road map. Revisions have emerged from FHWA's continuing Business Planning Process which was adopted to assure that FHWA is not only responsive to the Nation's dynamic surface transportation needs but proactively shaping its own future.

BACKGROUND

The 1994 NSP was drafted and refined by the 20 Unit Managers through a workshop process. That process began with the FY 1993 National Strategic Plan, the Agency's first. Refinements to the Plan were crafted considering critical change factors from the Environmental Scan, employee feedback from Agency-wide listening sessions, and the progress we made during FY 1993. The experience gained from the 1993 Strategic Plan and the unit operating plans, plus a renewed commitment to sharpen the Agency's strategic focus, combine to make the 1994 NSP a document that will lead FHWA into the 21st Century.

PURPOSE

The 1994 NSP is intended to guide the development of the Unit Strategic Plans. These Plans will delineate specific activities to be taken and serve as the benchmark by which the progress achieved by those specific activities will be measured.

APPROACH

The total scope of FHWA's work is encompassed within its Mission Statement. The 11 Goals from the 1993 Plan have been revalidated. They represent broad functional areas in which the Agency will make strategic changes. Other functional areas, not specifically targeted for strategic change, remain integral parts of the Agency's overall Mission. The period covered by this Plan is fiscal years 1994-96.

Within each of the 11 Goals, the 1994 NSP is composed of five working elements: National Objectives, National Strategies (where appropriate), Performance Measures, Action Units, and Completion Dates. "Objectives" are specific, measurable end state conditions which should be achieved to reach the Goal. If an objective is not readily measurable or needs additional clarification, "National Strategies" (numbered by decimal point, e.g., 1.1) have been identified to outline schemes to be followed. "Performance Measures" define how and in what terms the progress will be measured. "Action Units" indicate which units are expected to take action and are identified by routing code at the Unit Manager level (shared responsibility among action units is indicated by a "/"). "Completion Dates" specify the target deadline for accomplishing the objective or strategy.



VISION

**Meet the Nation's need for
the safe, efficient and
environmentally sound
movement of people and
goods, and be world
renowned in surface
transportation expertise
and innovation.**



MISSION

To ensure the highest quality surface transportation system which promotes the Nation's economic vitality and quality of life of its people. Directly, and with our partners, we will:

- Preserve, improve, and expand the surface transportation system and enhance its operations, efficiency, and intermodal integration.
- Implement surface transportation programs in a manner that protects and enhances the environment.
- Provide innovative and effective research and development; market and implement technology.
- Provide program oversight and accountability for public resources and ensure appropriate uniformity.
- Improve all aspects of surface transportation safety.



VALUES

Creativity – We promote, support, and reward innovation and accept the inherent risks.

Diversity – We consider people our greatest resource and we value and respect our individual differences and unique contributions.

Family – We support, care about, and respond to employees and their family needs.

Integrity – We conduct our business in an open and ethical manner.

Personal Development – We are committed to continuous personal and professional growth through challenges, training, opportunities, and recognition.

Professionalism – We take pride in our work and are committed to the pursuit of excellence.

Service – We anticipate and respond to customer and partner needs by providing quality products and services in a consistent, timely, and coordinated manner.

Teamwork – We maximize our collective talents through team building and partnerships based on mutual trust, respect, cooperation, and communication.



STRATEGIC GOALS

STEWARDSHIP

SAFETY

MOBILITY

ENVIRONMENT

HUMAN RESOURCES

**ORGANIZATIONAL
DEVELOPMENT**

TECHNICAL EXPERTISE

PUBLIC AWARENESS

TECHNOLOGY TRANSFER

**INFORMATION
MANAGEMENT**

**RESEARCH AND
DEVELOPMENT**



STEWARDSHIP:

**In cooperation with our partners,
continue to tailor our stewardship
activities and programs to provide
responsible management oversight
and accountability for Federal
assistance programs through flexible
and innovative concepts.**



STEWARDSHIP

Goal: In cooperation with our partners, continue to tailor our stewardship activities and programs to provide responsible management oversight and accountability for Federal assistance programs through flexible and innovative concepts.

OBJECTIVES / STRATEGIES	PERFORMANCE MEASURES	ACTION UNITS	COMPLETION DATES
#1 Our partners assume a larger role for oversight and accountability of Federal assistance programs.	<ul style="list-style-type: none"> • 100% of States exercising non-NHS highway exemptions • All States participate in all facets of the National Motor Carrier Program • All BIA Area Offices have certified processes for implementing Indian Reservation Road programs 	RAs HMT* HFL	No Later Than (NLT) 6/30/96
#2 FHWA resources are redirected to assure accountability for the Agency's program responsibilities through the development and implementation of Stewardship Plans by all headquarters and field offices; these plans should be consistent with the Stewardship Plan Guidance outlined in the Executive Director's memo of February 18, 1993.	<ul style="list-style-type: none"> • Stewardship Plans in effect in all offices 	All Unit Managers	NLT 6/30/94
#3 Each FHWA organizational unit aggressively promotes the concepts of the National Quality Initiative (NQI) in all aspects of the FHWA programs.			
3.1 Actively promote individual State implementation of work-shops/programs as follow-up to national and regional NQI meetings.	<ul style="list-style-type: none"> • 75% of States implementing workshops/programs 	Field Unit Managers	NLT 5/30/95
3.2 Establish a national program using quality improvement team (QIT) concepts to identify and address specific program components where improved quality is needed.	<ul style="list-style-type: none"> • Executive Director establishes management team to identify program components • Appropriate Headquarters program offices develop QIT review guidelines • QIT reviews conducted by field offices, with Headquarters Program office participation • Consolidated QIT reports prepared by appropriate Headquarters program offices 	HOA HPD HST RAs HPD HST	12/31/93 5/30/94 9/30/95 3/31/96
3.3 Develop and present a training course for Continuous Quality Improvement.	<ul style="list-style-type: none"> • Course developed • Course presented to 50% of States 	HAD/HRD HAD/HRD	9/30/94 9/30/96

* Field offices



SAFETY:

**Improve surface transportation safety
through a coordinated effort to
reduce fatalities, injuries, property
damage, and hazardous material
incidents.**



SAFETY

Goal: Improve surface transportation safety through a coordinated effort to reduce fatalities, injuries, property damage, and hazardous material incidents.

OBJECTIVES / STRATEGIES	PERFORMANCE MEASURES	ACTION UNITS	COMPLETION DATES
#1 Reduce the national fatality rate by an average of 5% annually through 1996.			
1.1 Assist the States in development and implementation of comprehensive Safety Management Systems (SMS).	• Acceptable SMS in all States	HST HMT RAs	1/1/95
1.2 Develop and implement a joint action plan with NHTSA and other agencies to address roadway, vehicle, and highway traveler safety programs.	• Develop guidelines on joint Action Plan	HST	11/30/93
	• Develop joint Action Plans	HST HMT RAs	1/31/94
	• Action Plan implementation initiated	HST HMT RAs	8/31/94



MOBILITY:

**Meet the public's need for improved
access and for safe, comfortable,
convenient, and economical
movement of people and goods.**



MOBILITY

Goal: Meet the public's need for improved access and for safe, comfortable, convenient, and economical movement of people and goods.

OBJECTIVES / STRATEGIES	PERFORMANCE MEASURES	ACTION UNITS	COMPLETION DATES
#1 Working with stakeholders and Congress, the National Highway System (NHS) has been designated legislatively.			
1.1 Submit proposed NHS and supporting report to Congress.	• System report submitted	HPP/HPD	12/18/93
1.2 Develop and implement an Action Plan to insure public education and awareness of benefits of NHS.	• Action Plan developed	HPP/HPD/HPA	7/31/93
	• Action Plan implemented	All units as per Plan	9/30/95
#2 All ISTEA management systems and planning requirements have been implemented			
2.1 Develop program plans to support outreach activities, education, and implementation.	• Program plans developed in all units	HPD* HST RAs	12/31/93
2.2 Implementation of management systems in accordance with regulatory criteria.	• All management systems progressing on schedule for first certification	RAs HFL HMT	1/1/95
2.3 Ensure development of State/ MPO long-range transportation plans in all States.	• Quality long-range plans developed on schedule in all States	RAs	1/1/95
#3 Advance the IVHS Program as defined by the national IVHS Program Plan to improve the efficiency of personal and freight transportation.			
3.1 Establish partnerships to operationally test promising new IVHS technologies and systems, and provide IVHS Early Deployment Program grants to State and local agencies.	• New public/private partnerships formed	HST HMT RAs	Annually
	• 30 Early Deployment grants approved		9/30/96
3.2 Ensure that all States are members of the International Registration Plan (IRP) and the International Fuel Tax Agreement (IFTA), that AVI standards for a National Commercial Vehicle Program are established, and that preclearance systems for commercial vehicles are implemented.	• All States are members of IRP and IFTA	HMT	9/30/96
	• AVI standards established	HMT/HST	9/30/95
	• Commercial vehicle preclearance systems implemented on three major corridors	HMT/HST	9/30/97
3.3 Develop a consensus IVHS system architecture by 1996.	• Consensus IVHS system architecture	HST	7/31/96

* Lead unit



ENVIRONMENT:

**Be an environmentally conscious
organization which practices active
leadership in working with our
partners to protect and enhance the
environment.**



ENVIRONMENT

Goal: Be an environmentally conscious organization which practices active leadership in working with our partners to protect and enhance the environment.

OBJECTIVES / STRATEGIES	PERFORMANCE MEASURES	ACTION UNITS	COMPLETION DATES
#1 FHWA working with resource agencies has implemented initiatives to protect and enhance the environment.			
1.1 Advance quality wetland banking programs in each Region.	• At least one banking program per Region	RAs	9/30/94
1.2 Reach agreement with State DOTs and State and Federal resource agencies on merging the common elements of NEPA and Section 404.	• Agreements reached at the State or regional level as appropriate	RAs	9/30/94
1.3 Jointly conduct evaluations of environmental achievements with State DOTs and State and Federal resource agencies.	• Joint evaluations completed in at least 50% of the States in each Region	RAs	9/30/94
1.4 Implement quality projects from STP transportation enhancement programs.	• In FY 1994 enhancement funds obligated in at least the same proportion as total available obligation authority to total apportionments	RAs	9/30/94
	• Evaluation of STP enhancement programs and appropriate recommendations developed	HPD	9/30/94
#2 FHWA, State DOTs, and MPOs are working closely with their air quality counterparts to achieve air quality requirements in non-attainment areas.	• In FY 1994 CMAQ funds obligated in at least the same proportion as total available obligation authority to total apportionments	RAs	9/30/94
	• 100% of applicable plans, programs, and projects found to be in conformity with State Air Quality Implementation Plans	RAs	Annually
	• Congress, EPA, NARC, and environmental groups publicly recognize FHWA for being an advocate of air quality	HPD RAs	9/30/94



HUMAN RESOURCES:

**Establish a work environment that
demonstrates the commitment of
management and employees to foster
career enhancement, recognition, and
job satisfaction; to build morale; and
to support diversity and family needs.**



HUMAN RESOURCES

Goal: Establish a work environment that demonstrates the commitment of management and employees to foster career enhancement, recognition, and job satisfaction; to build morale; and to support diversity and family needs.

OBJECTIVES / STRATEGIES	PERFORMANCE MEASURES	ACTION UNITS	COMPLETION DATES
#1 Career development and training programs are operating which meet the diverse needs of the organization and employees.	<ul style="list-style-type: none"> • Career development and training discussions held with all employees 	HAD/Unit Managers	7/31/94 and annually
#2 The work environment and support systems are sensitive to employee needs and maximize the use of a diverse work force.			
2.1 Survey employees.	<ul style="list-style-type: none"> • Survey completed; progress measured and HR program improved 	HAD/Unit Managers	6/30/94 and biennially
2.2 Review HR programs and systems.	<ul style="list-style-type: none"> • Unique needs identified and addressed 	HAD	9/30/95
#3 Teamwork recognition programs improved and used.	<ul style="list-style-type: none"> • Recognition programs in place for all units • Managers' CJE's include teamwork 	Unit Managers	9/30/94



ORGANIZATIONAL DEVELOPMENT:

Create a team-oriented learning

organization structured to meet the

Mission of the Agency.



ORGANIZATIONAL DEVELOPMENT

Goal: Create a team-oriented learning organization structured to meet the Mission of the Agency.			
OBJECTIVES / STRATEGIES	PERFORMANCE MEASURES	ACTION UNITS	COMPLETION DATES
#1 FHWA policies, practices, and initiatives enhance teamwork, decisionmaking, strategic planning, and continuous quality improvement, and support the President's National Performance Review initiative.			
1.1 Identify and revise policies and procedures as required to promote initiatives for change.	• All policies and procedures are supportive of an enhanced team-oriented learning organization	HOA	9/30/94
1.2 Develop and offer team-building and quality improvement training.	• All employees complete team-building and quality improvement training	Unit Managers	9/30/94
#2 FHWA has an organizational plan and structure to accomplish its Mission and Goals.			
2.1 Develop organizational and staffing alternatives for FY 1996 and beyond.	• Final report of Organization and Staffing Study	Staffing Task Force	3/31/94
2.2 Determine FY 1996 target organization and staffing allocations.	• FHWA organizational plan approved	HOA	5/31/94
2.3 Develop target unit and subunit organization structures based on defined roles, responsibilities, and staffing allocations.	• Plans prepared	Unit Managers	9/30/94



TECHNICAL EXPERTISE:

**Develop, attract, and retain a work
force with the expertise necessary to
assist our partners, serve our
customers, and lead in surface
transportation innovation.**



TECHNICAL EXPERTISE

Goal: Develop, attract, and retain a work force with the expertise necessary to assist our partners, serve our customers, and lead in surface transportation innovation.

OBJECTIVES	PERFORMANCE MEASURES	ACTION UNITS	COMPLETION DATES
#1 Technical expertise needs are known, and a structure has been identified.	<ul style="list-style-type: none"> • Recommendations included in Staffing Study 	Staffing Study Task Force	6/30/94
#2 Unit technical expertise requirements identified; recruitment and training plans developed and implemented.	<ul style="list-style-type: none"> • Unit plans (requirements, goals, training, budgets) developed based on approved Staffing Study 	Unit Managers	1/31/95
	<ul style="list-style-type: none"> • Plans implemented 	Unit Managers/ HAD	12/31/96



PUBLIC AWARENESS:

Establish communications programs

to ensure that the public is informed

of and encouraged to provide

feedback on the programs, resources,

and benefits of the surface

transportation system.



PUBLIC AWARENESS

Goal: Establish communications programs to ensure that the public is informed of and encouraged to provide feedback on the programs, resources, and benefits of the surface transportation system.

OBJECTIVES	PERFORMANCE MEASURES	ACTION UNITS	COMPLETION DATES
#1 Materials, tools, and associated training programs to be used by employees to better understand FHWA initiatives and to engage public participation and input on major activities have been developed and distributed.	• Materials developed and distributed to employees	HPA and individual units*	3/1/94
	• Number of employees trained	Individual units* train employees in FHWA programs	9/1/94
#2 Public education, awareness, and involvement programs have been developed in at least three high-priority areas and implemented and evaluated.	• Three priority programs selected	HPA and individual units*	3/1/94
	• Priority programs developed and implemented	HPA and individual units*	3/1/95
	• Priority programs evaluated	HPA and individual units*	3/1/96

* These are the identified individual units which have prime responsibility for the selected programs.



TECHNOLOGY TRANSFER:

**Market, exchange, and implement
technology/innovation with our
partners and international
colleagues.**



TECHNOLOGY TRANSFER

Goal: Market, exchange, and implement technology/innovation with our partners and international colleagues.

OBJECTIVES / STRATEGIES	PERFORMANCE MEASURES	ACTION UNITS	COMPLETION DATES
#1 An expanded technology transfer capability is in place throughout FHWA.			
1.1 Define technology transfer roles within FHWA via National Staffing Study.	• Staffing Study completed	Staffing Study Task Force	6/30/94
1.2 Assign technology transfer roles within FHWA.	• Organization Manual revised	HOA/HST	9/30/94
1.3 Train managers as change agents to accomplish expanded technology transfer program.	• Training completed	Unit Managers	6/30/95
#2 An expanded cooperative program for domestic and international technology transfer will be operational with special emphasis on Strategic Highway Research Program (SHRP) products.			
2.1 Identify program priorities in Headquarters, Regions, and Divisions.	• Priority lists of activities developed by April 1994	HST/Unit Managers	4/30/94
	• An effective process for determining need, including field outreach, and a program for domestic and international scanning and priority setting in place by September 1994	HST/Unit Managers	9/30/94
2.2 Headquarters, Regions, and Divisions develop and implement strategies for marketing priority items.	• Marketing plans developed for high-priority items by September 1994	HST/Unit Managers	9/30/94
2.3 Headquarters, Regions, and Divisions develop and implement strategies for marketing SHRP products.	• Products evaluated, marketing plans developed, and implementation activities underway by June 1994	HST/Unit Managers	1/31/95



INFORMATION MANAGEMENT:

**Identify, collect, develop, exchange,
and use timely and accurate
information which meets internal and
external needs.**



INFORMATION MANAGEMENT:

Goal: Identify, collect, develop, exchange, and use timely and accurate information which meets internal and external needs.

OBJECTIVES	PERFORMANCE MEASURES	ACTION UNITS	COMPLETION DATES
#1 A management and planning process is in place that provides direction and coordination for Agency information systems and initiatives.	• Strategic Information Management Plan approved and implementation actions initiated by Headquarters	HAD	12/31/93
	• Information System Steering Committees established	HAD	12/31/93
#2 Continuing information needs assessment processes and applications development initiatives are in place for identifying and satisfying Agency-wide information requirements.	• Pilot needs assessment completed and approved recommendations are implemented	HAD	6/30/94
#3 A modern information technology infrastructure to support the efficient use, collection, and exchange of information among FHWA units and with our customers is in place in all FHWA offices.	• LAN/WAN with AASHTOVAN on line	HAD * Unit Managers	6/30/94
	• 80% EDS participation	HAD RAs/HMT	12/31/95

* Lead unit



RESEARCH AND DEVELOPMENT:

Establish and maintain a world class

research capability to develop

innovative technology to meet

current and future surface

transportation needs.



RESEARCH AND DEVELOPMENT

Goal: Establish and maintain a world class research capability to develop innovative technology to meet current and future surface transportation needs.

OBJECTIVES / STRATEGIES	PERFORMANCE MEASURES	ACTION UNITS	COMPLETION DATES
#1 FHWA FY 1995 Research and Technology (R&T) program is developed in concert with the President's Technology Initiatives and refined through communications with external members of the highway research and technology community.			
1.1 Working through the DOT Research and Development (R&D) Coordinating Council and the Research and Technology Coordinating Committee (RTCC), coordinate the FY 1995 FHWA R&T program with other modal administrations' and assist in updating the Surface Transportation Research and Development Plan (Section 6009 - ISTEA).	• R&T program coordinated	HRD AAs	4/30/94
	• FHWA input to R&D plan	HRD AAs	4/30/94
	• RTCC recommendations obtained, considered, and included as appropriate	HRD AAs	10/31/93
1.2 Visit Federal laboratories to identify potential Defense Conversion technologies and initiate activity to adapt technologies for the highway program.	• Five technologies identified and assigned to appropriate program office	AAs RAs	9/30/94
	• \$10 million of Defense Conversion funds committed to Infrastructure needs	AAs RAs	9/30/94



RESEARCH AND DEVELOPMENT

OBJECTIVES / STRATEGIES	PERFORMANCE MEASURES	ACTION UNITS	COMPLETION DATES
#2 Issue and implement new regulations for the administration of the State Planning and Research (SP&R) Program.			
2.1 Work with the States to implement new SP&R Program regulations.	• All States effectively operating under new regulations	HRD/HPD RAs	9/30/94
2.2 Ensure proper utilization of the Transportation Research Information Service (TRIS) by States and FHWA field offices.	• TRIS in place and being used by States and FHWA field offices	HRD AAs RAs	9/30/94
2.3 Measure effectiveness and return on investment for selected R&T program products.	• Ten products selected	HRD/HST AAs RAs	1/31/94
	• Five accomplishments reported	HRD/HST AAs RAs	1/31/95
#3 Outstanding research talent is attracted and retained. Programs and practices are developed and implemented to obtain talented non-FHWA research services.			
3.1 Increase use of temporary exchange program for FHWA field and research personnel.	• Three participants in exchange program	AAs RAs	12/31/93
3.2 Bring research professionals to FHWA for periods up to 1 year from State DOTs, other Federal agencies, academia, and private and international sectors.	• Fifteen participants assigned	Unit Managers	Annually



NEXT STEPS

The 1994 National Strategic Plan is the tool that will help focus FHWA's energy and activities for the coming fiscal year. Yet, until it is applied to actual Agency operations, the Plan is only a document. Headquarters and field units will forge the next link with day-to-day operations as they develop and carry out their own Unit Strategic Plans. Through these Plans, FHWA employees will be better able to plan and prioritize their own work, as part of the team that will carry FHWA to world leadership in transportation technology for the 21st Century.

